

PROCUREMENT NOTICE
State of Connecticut
Department of Mental Health and Addiction Services
REQUEST FOR PROPOSALS (RFP)
RFP #DMHAS-HOU-PIT-2017
Legal Notice

Notification of a procurement opportunity for the 2017 **Statewide Point-In Time Count (PIT)** and **Homelessness Management Information (HMIS) System** required by the Connecticut Department of Mental Health and Addiction Services is available for review, download and printing on the State's Procurement/Contracting Portal at:

<http://das.ct.gov/cr1.aspx?page=12>

Bid notices may also be accessed on the Department of Mental Health and Addiction Services web page at:

<http://www.ct.gov/dmhas/site/default.asp>

The Department of Mental Health and Addiction Services is an Equal Opportunity/Affirmative Action Employer.

The Department reserves the right to reject any and all proposals or cancel this procurement at any time if deemed in the best interest of the State of Connecticut (State).

Questions may be directed to the DMHAS Contracts Administration Unit at (860) 418-6672.

Disclaimer: Housing Innovations, LLC assisted with the development of this RFP Language. Organizations that assisted with the development of the language in this RFP are not eligible to apply for the services requested herein.

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I. GENERAL INFORMATION

■ A. INTRODUCTION

1. RFP Name or Number. #DMHAS-HOU-PIT-2017

2. Summary. The State of Connecticut, Department of Mental Health and Addiction Services is seeking proposals to lead the 2017 statewide point-in-time count (PIT) of individuals experiencing homelessness and the development of project level performance reports from the statewide Homelessness Management Information (HMIS) System.

3. Synopsis: Not Available

4. Commodity Codes. The services that the Department wishes to procure through this RFP are as follows:

- 0600: Services (Professional, Support, Consulting and Misc. Services)
- 2000: Community and Social Services

■ B. ABBREVIATIONS / ACRONYMS / DEFINITIONS

- *Agency:* Proposer agency responding to this RFP.
- *Proposer:* A private organization, or municipality that has submitted a proposal to the Department in response to this RFP.
- *BOS:* Balance of State Continuum of Care (CT)
- *COC:* Continuum of Care
- *CT:* Connecticut
- *CQI:* Continuous Quality Improvement
- *Department:* For the purposes of this RFP, 'Department' shall mean the Connecticut Department of Mental Health and Addiction Services.
- *DMHAS:* Department of Mental Health and Addiction Services (CT)
- *DAS:* Department of Administrative Services (CT)
- *HDX:* Homelessness Data Exchange (US)
- *HIC:* Housing Inventory Count
- *HMIS:* Homeless Management Information System
- *HUD:* Department of Housing and Urban Development (US)
- *LOI:* Letter of Intent
- *PIT:* Point in Time Count
- *Prospective Proposer:* A private organization or municipality that may submit a proposal to DMHAS, but has not yet done so.
- *RFP:* Request For Proposal
- *Subcontractor:* An individual (other than an employee of the contractor) or business entity hired by a contractor to provide a specific service as part of a contract with the Department as a result of this RFP.
- *U.S.:* United States

■ C. INSTRUCTIONS

- 1. Official Contact.** The Department has designated the individual below as the Official Contact for purposes of this RFP. The Official Contact is the **only authorized contact** for this procurement and, as such, handles all related communications on behalf of the Department. Proposers, prospective proposers, and other interested parties are advised that any communication with any other Department employee(s) (including appointed officials) or personnel under contract to the Department about this RFP is strictly prohibited. Proposers or prospective proposers who violate this instruction may risk disqualification from further consideration.

Name: Lillian Ruiz

Address: Department of Mental Health and Addiction Services
Office of the Commissioner – Contracts Administration
410 Capitol Avenue
P.O. Box 341431
Hartford, CT 06134

Phone: (860) 418-6865

Fax: (860) 418-6698

E-Mail: Lillian.Ruiz@ct.gov

Please ensure that e-mail screening software (if used) recognizes and accepts e-mails from the Official Contact.

- 2. RFP Information.** The RFP, amendments to the RFP, and other information associated with this procurement are available in electronic format from the Official Contact or from the Internet at the following locations:

- Department's RFP Web Page
<http://www.ct.gov/dmhas>
- State Contracting Portal
<http://das.ct.gov/cr1.aspx?page=12>

It is strongly recommended that any proposer or prospective proposer interested in this procurement subscribe to receive e-mail alerts from the State Contracting Portal. Subscribers will receive a daily e-mail announcing procurements and addendums that are posted on the portal. This service is provided as a courtesy to assist in monitoring activities associated with State procurements, including this RFP.

Printed copies of all documents are also available from the Official Contact upon request.

- 3. Contract Awards.** The award of any contract pursuant to this RFP is dependent upon the availability of funding to the Department. The Department anticipates the following:

- Total Funding Available: \$175,000.00
- Number of Awards: 1
- Contract Cost: To be Determined
- Contract Term: 1 year

- 4. Eligibility.** Pursuant to C.G.S. §17a-676, and in accordance with federal grant requirements for use of this funding, the Department may only award contracts for the services requested herein to private nonprofit organizations or Connecticut municipalities. Eligible respondents are private provider organizations (defined as non-state entities that are 501(c)(3) nonprofit corporations or partnerships with principal place of business in Connecticut) or Connecticut municipalities. In all cases, applicants

must be currently registered to conduct business in the State of Connecticut with the Connecticut Office of the Secretary of the State.

5. Minimum Qualifications of Proposers. To qualify for a contract award, a proposer must have the following minimum qualifications:

- a. Experience in successfully designing and leading a collaborative data collection and reporting initiative of similar size and scope.
- b. Experience managing similar projects and a proven track record of ensuring timely delivery of all products and coordinating closely with project partners to ensure that projects remain on schedule.
- c. Knowledge of HUD HMIS requirements and data standards and experience working with HMIS systems.
- d. Familiarity with HUD PIT Sheltered and Unsheltered Count and HIC guidelines and methodologies
- e. Familiarity with HUD Systems Performance Measures, including HMIS programming specifications.
- f. Qualifications and experience in conducting surveys, especially with homeless populations, and in designing sampling strategies that result in reliable findings.
- g. Qualifications and experience in design and implementation of data quality plans.
- h. Qualifications and experience in using data to inform Continuous Quality Improvement strategies.
- i. Experience in gaining buy-in and participation from community leaders, consumers, providers, and others for similar initiatives.
- j. Demonstrated ability to communicate clearly, prevent and resolve issues, and organize complex projects.
- k. Ability to write clear, concise, and compelling documents and to present data in a manner that that is easily understood by a range of stakeholders and useful for informing project and systems level decisions.
- l. The ideal candidate will have a working knowledge of Connecticut's homeless population and homeless services delivery system and strong community outreach and community organizing capacity.

DMHAS reserves the right to reject the submission of any respondent in default with any current or prior contract.

6. Procurement Schedule. See below. Dates after the due date for proposals ("Proposals Due") are target dates only (*). The Department may amend the schedule, as needed. Any change will be made by means of an amendment to this RFP and will be posted on the State Contracting Portal and, if available, the Department's RFP Web Page.

- | | |
|---------------------------------------|----------------------------|
| • RFP Planning Start Date: | June 2, 2016 |
| • RFP Released: | August 30, 2016 |
| • Deadline for Letter of Intent: | 3:00 PM September 13, 2016 |
| • Deadline for Questions: | 3:00 PM September 26, 2016 |
| • Answers Released: | 3:00 PM, October 4, 2016 |
| • RFP Conference: | Not Applicable |
| • Deadline for Proposals Submission: | 3:00 PM, October 18, 2016 |
| • (*) Proposer Selection: | October 31, 2016 |
| • (*) Start of Contract Negotiations: | November 4, 2016 |
| • (*) Start of Contract: | December 15, 2016 |

7. Letter of Intent. A Letter of Intent (LOI) is required by this RFP. The LOI is non-binding and does not obligate the sender to submit a proposal. The LOI must be submitted to the Official Contact identified in Section C.1 of this RFP. LOI's may be submitted by US mail, fax, or e-mail by the deadline established in the Procurement Schedule. The LOI must clearly identify the sender, including agency name, contact person, postal address, telephone number, fax number, and e-mail address. As a courtesy, the Department will confirm receipt of the LOI via email to the email address designated

in the LOI, but **it remains the sender's responsibility to confirm the Department's receipt of the LOI.** Failure to submit the required LOI in accordance with the requirements set forth herein shall result in disqualification from further consideration.

8. Inquiry Procedures. All questions regarding this RFP or the Department's procurement process must be directed, in writing, to the Official Agency Contact before the deadline specified in the Procurement Schedule. The early submission of questions is encouraged. Questions will not be accepted or answered verbally– neither in person nor over the telephone. All questions received before the deadline will be answered. However, the Department will not answer questions when the source is unknown (i.e., nuisance or anonymous questions). Questions deemed unrelated to the RFP or the procurement process will not be answered. At its discretion, the Department may or may not respond to questions received after the deadline. If the Department chooses to answer questions received after the deadline, the question and the answer will be made available to all applicants or prospective applicants. The Department reserves the right to answer questions only from those who have submitted an LOI. The Department may combine similar questions and give only one answer. All questions and answers will be compiled into a written amendment to this RFP. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the amendment and duly noted as such. The Department will release the answers to questions on the dates established in the Procurement Schedule. The Department will publish any and all amendments to this RFP on the State Contracting Portal and the Department's Web Site.

9. RFP Conference. The Department will not be holding a Bidder's conference related to this RFP.

10. Proposal Due Date and Time. The Official Contact is the **only authorized recipient** of proposals submitted in response to this RFP. Proposals must be received by the Official Contact on or before the due date and time:

- Due Date: **October 18, 2016**
- Time: **3:00 PM**
- Location: Department of Mental Health and Addiction Services
410 Capitol Avenue, 4th Floor
Hartford, CT 06134

Faxed or e-mailed proposals will not be evaluated. When hand-delivering proposals by courier or in person, please allow extra time due to building security procedures. The Department will not accept a postmark date as the basis for meeting the submission due date and time. Proposals received after the due date and time may be accepted by the Department as a clerical function, but late proposals will not be evaluated. At the discretion of the Department, late proposals may be destroyed or retained for pick up by the submitters.

An acceptable submission must include the following:

- **one (1) original proposal;**
- **five (5) conforming copies of the original proposal; and**
- **one (1) conforming electronic copy of the original proposal.**

The original proposal must carry original signatures and be clearly marked on the cover as "Original." Unsigned proposals will not be evaluated. The original proposal and each conforming copy of the proposal must be complete, properly formatted and outlined, and ready for evaluation by the Screening Committee. The electronic copy of the proposal must be compatible with Microsoft Office Word. For the electronic copy, required forms and appendices may be scanned and submitted in Portable Document Format (PDF) or similar file format.

11. Multiple Proposals. The submission of multiple proposals from the same applicant is not an option with this procurement. The submission of proposals for program or service types other than those delineated in this RFP is not an option with this procurement.

12. Declaration of Confidential Information. Applicants are advised that all materials associated with this procurement are subject to the terms of the Freedom of Information Act (FOIA), the Privacy Act, and all rules, regulations and interpretations resulting from them. If an applicant deems that certain information required by this RFA is confidential, the applicant must label such information as CONFIDENTIAL. In Section C of the proposal submission, the applicant must reference where the information labeled CONFIDENTIAL is located in the proposal. EXAMPLE: Section G.1.a. For each subsection so referenced, the applicant must provide a convincing explanation and rationale sufficient to justify an exemption of the information from release under the FOIA. The explanation and rationale must be stated in terms of (a) the prospective harm to the competitive position of the applicant that would result if the identified information were to be released and (b) the reasons why the information is legally exempt from release pursuant to C.G.S. § 1-210(b).

13. Conflict of Interest - Disclosure Statement. Proposers must include a disclosure statement concerning any current business relationships (within the last three (3) years) that pose a conflict of interest, as defined by C.G.S. § 1-85. A conflict of interest exists when a relationship exists between the proposer and a public official (including an elected official) or State employee that may interfere with fair competition or may be adverse to the interests of the State. The existence of a conflict of interest is not, in and of itself, evidence of wrongdoing. A conflict of interest may, however, become a legal matter if a proposer tries to influence, or succeeds in influencing, the outcome of an official decision for their personal or corporate benefit. The Department will determine whether any disclosed conflict of interest poses a substantial advantage to the proposer over the competition, decreases the overall competitiveness of this procurement, or is not in the best interests of the State. In the absence of any conflict of interest, a proposer must affirm such in the disclosure statement. Example: "[name of proposer] has no current business relationship (within the last three (3) years) that poses a conflict of interest, as defined by C.G.S. § 1-85."

■ D. PROPOSAL FORMAT

1. Required Outline. All proposals must follow the required outline presented in Section IV, of this RFP. Proposals that fail to follow the required outline will be deemed non-responsive and will not be evaluated.

2. Cover Sheet. The Cover Sheet is Page 1 of the proposal. Proposers must complete and use the Cover Sheet form provided by the Department in Section IV – Forms.

3. Table of Contents. All proposals must include a Table of Contents that conforms with the required proposal outline. (See Section IV.)

4. Executive Summary. Proposals must include a summary of the main proposal and cost proposal. This summary must not exceed one (1) page. The executive summary should include: a description of the applicant demonstrated experience, established partnerships and/or collaborations with other community providers, location of program, a brief demonstration of need, a brief agency history, and a brief program philosophy.

5. Attachments. Attachments other than the required Appendices or Forms identified in Section IV are not permitted and will not be evaluated. Further, the required Appendices or Forms must not be altered or used to extend, enhance, or replace any component required by this RFP. Failure to abide by these instructions will result in disqualification.

6. Style Requirements. Submitted proposals must conform to the following specifications:

- Binding Type: Loose Leaf, Bound with a Butterfly Clip
- Dividers: No Dividers
- Paper Size: 8 ½ x 11" (Standard Letter)

- Print Style: 2-sided
- Font Size: 12
- Font Type: Times New Roman
- Margins: None specified
- Line Spacing: Single Space
- Maximum # of Pages: 20 pages maximum, exclusive of Executive Summary, Appendices and Budget forms

7. Pagination. The proposer's name must be displayed in the header of each page. All pages, including the required Appendices and Forms, must be numbered in the footer.

8. Packaging and Labeling Requirements. All proposals must be submitted in sealed envelopes or packages and be addressed to the Official Contact. The Legal Name and Address of the proposer must appear in the upper left corner of the envelope or package. The RFP Name or Number must be clearly displayed on the envelope or package. Any received proposal that does not conform to these packaging or labeling instructions will be opened as general mail. Such a proposal may be accepted by the Department as a clerical function, but it will not be evaluated. At the discretion of the Department, such a proposal may be destroyed or retained for pick up by the submitters.

■ E. EVALUATION OF PROPOSALS

1. Evaluation Process. It is the intent of the Department to conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this RFP. When evaluating proposals, negotiating with successful applicants, and offering the right to negotiate contract and awarding contracts, the Department will conform with its written procedures for POS procurements (pursuant to C.G.S. § 4-217) and the State's Code of Ethics (pursuant to C.G.S. §§ 1-84 and 1-85).

2. Screening Committee. The Department will designate a Screening Committee to evaluate proposals submitted in response to this RFP. The contents of all submitted proposals, including any confidential information, will be shared with the Screening Committee. Only proposals found to be responsive (that is, complying with all instructions and requirements described herein) will be reviewed, rated, and scored. Proposals that fail to comply with all instructions will be rejected without further consideration. Attempts by any applicant (or representative of any applicant) to contact or influence any member of the Screening Committee may result in disqualification of the applicant.

3. Minimum Submission Requirements. All proposals must comply with the requirements specified in this RFA. To be eligible for evaluation, proposals must (1) be received on or before the due date and time; (2) meet the Proposal Format requirements; (3) follow the required Proposal Outline; and (4) be complete. Proposals that fail to follow instructions or satisfy these minimum submission requirements will not be reviewed further. The Department will reject any proposal that deviates significantly from the requirements of this RFP.

4. Evaluation Criteria (and Weights). Proposals meeting the Minimum Submission Requirements will be evaluated according to the established criteria. The criteria are the objective standards that the Screening Committee will use to evaluate the technical merits of the proposals. Only the criteria listed below will be used to evaluate proposals. Interpretation of these criteria will be established by the Screening Committee prior to receipt of proposals. The criteria may be weighted by the Screening Committee according to their relative importance. Proposals will be rated using a point scoring system that assesses how well the applicant addressed requirements set forth in this RFP. The maximum score across all evaluation criteria is 100 points as follows:

- | | |
|--------------------------------|--------------------|
| 1. Organizational Profile | (20 Points) |
| 2. Scope of Services | (20 Points) |
| 3. Staffing Plan | (10 Points) |
| 4. Data and Technology | (10 Points) |
| 5. Work Plan | (20 Points) |
| 6. Budget and Budget Narrative | (10 Points) |

Note: As part of its evaluation, the Screening Committee will consider the applicant's demonstrated commitment to affirmative action, as required by the Regulations of CT State Agencies § 46A-68j-30(10).

5. **Proposer Selection.** Upon completing its evaluation of proposals, the Screening Committee will submit the rankings of all proposals to the Department head. The final selection of a successful applicant is at the discretion of the Department head. Any applicant selected will be notified and awarded an opportunity to negotiate a contract with the Department. Such negotiations may, but will not automatically, result in a contract. Pursuant to Governor M. Jodi Rell's Executive Order No. 3, any resulting contract will be posted on the State Contracting Portal. All unsuccessful applicants will be notified by e-mail or U.S. mail, at the Department's discretion, about the outcome of the evaluation and applicant selection process.
6. **Debriefing.** Within ten (10) days of receiving notification from the Department, unsuccessful applicants may contact the Official Contact and request information about the evaluation and applicant selection process. The e-mail sent date or the postmark date on the notification envelope sent by the Department will be considered "day one" of the ten (10) days. If unsuccessful applicants still have questions after receiving this information, they may contact the Official Contact and request a meeting with the Department to discuss the evaluation process and their proposals. If held, the debriefing meeting will not include any comparisons of unsuccessful proposals with other proposals. The Department will schedule and hold the debriefing meeting within fifteen (15) days of the request. The Department will not change, alter, or modify the outcome of the evaluation or selection process as a result of any debriefing meeting.
7. **Appeal Process.** Applicants may appeal any aspect the Department's competitive procurement, including the evaluation and applicant selection process. Any such appeal must be submitted to the Department head with a copy of the appeal being sent to the Official Contact. A applicant may file an appeal at any time after the proposal due date, but not later than thirty (30) days after an agency notifies unsuccessful applicants about the outcome of the evaluation and applicant selection process. The e-mail sent date or the postmark date on the notification envelope sent by the Department will be considered "day one" of the thirty (30) days. The filing of an appeal shall not be deemed sufficient reason for the Department to delay, suspend, cancel, or terminate the procurement process or execution of a contract. More detailed information about filing an appeal may be obtained from the Official Contact.
8. **Contest of Solicitation or Award.** Pursuant to Section 4e-36 of the Connecticut General Statutes, "Any bidder or proposer on a state contract may contest the solicitation or award of a contract to a subcommittee of the State Contracting Standards Board..." More detailed information is available on the State Contracting Standards Board web site at <http://www.ct.gov/scsb/site/default.asp>.
9. **Contract Execution.** Any contract developed and executed as a result of this RFP is subject to the Department's contracting procedures, which may include approval by the Office of the Attorney General.

II. MANDATORY PROVISIONS

■ A. STANDARD CONTRACT, PARTS I AND II

By submitting a proposal in response to this RFP, the proposer implicitly agrees to comply with the provisions of Parts I and II of the State's "standard contract":

Part I of the standard contract is maintained by the Department and will include the scope of services, contract performance, quality assurance, reports, terms of payment, budget, and other program-specific provisions of any resulting POS contract. A sample of Part I is available from the Department's Official Contact upon request.

Part II of the standard contract is maintained by OPM and includes the mandatory terms and conditions of the contract. Part II is available on OPM's website at: http://www.ct.gov/opm/fin/standard_contract

Note:

Included in Part II of the standard contract is the State Elections Enforcement Commission's notice (pursuant to C.G.S. § 9-612(g)(2)) advising executive branch State contractors and prospective State contractors of the ban on campaign contributions and solicitations. If a proposer is awarded an opportunity to negotiate a contract with the Department and the resulting contract has an anticipated value in a calendar year of \$50,000 or more, or a combination or series of such agreements or contracts has an anticipated value of \$100,000 or more, the proposer must inform the proposer's principals of the contents of the SEEC notice.

Part I of the standard contract may be amended by means of a written instrument signed by the Department, the selected proposer (contractor), and, if required, the Attorney General's Office. Part II of the standard contract may be amended only in consultation with, and with the approval of, the Office of Policy and Management and the Attorney General's Office.

■ B. ASSURANCES

By submitting a proposal in response to this RFP, a proposer implicitly gives the following assurances:

- 1. Collusion.** The proposer represents and warrants that the proposer did not participate in any part of the RFP development process and had no knowledge of the specific contents of the RFP prior to its issuance. The proposer further represents and warrants that no agent, representative, or employee of the State participated directly in the preparation of the proposer's proposal. The proposer also represents and warrants that the submitted proposal is in all respects fair and is made without collusion or fraud.
- 2. State Officials and Employees.** The proposer certifies that no elected or appointed official or employee of the State has or will benefit financially or materially from any contract resulting from this RFP. The Department may terminate a resulting contract if it is determined that gratuities of any kind were either offered or received by any of the aforementioned officials or employees from the proposer, contractor, or its agents or employees.
- 3. Competitors.** The proposer assures that the submitted proposal is not made in connection with any competing organization or competitor submitting a separate proposal in response to this RFP. No attempt has been made, or will be made, by the proposer to induce any other organization or competitor to submit, or not submit, a proposal for the purpose of restricting competition. The proposer further assures that the proposed costs have been arrived at independently, without consultation, communication, or agreement with any other organization or competitor for the purpose of restricting competition. Nor has the proposer knowingly disclosed the proposed costs on a prior basis, either directly or indirectly, to any other organization or competitor.

4. **Validity of Proposal.** The proposer certifies that the proposal represents a valid and binding offer to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto. The proposal shall remain valid for a period of 180 days after the submission due date and may be extended beyond that time by mutual agreement. At its sole discretion, the Department may include the proposal, by reference or otherwise, into any contract with the successful proposer.
5. **Press Releases.** The proposer agrees to obtain prior written consent and approval of the Department for press releases that relate in any manner to this RFP or any resultant contract.

■ C. TERMS AND CONDITIONS

By submitting a proposal in response to this RFP, a proposer implicitly agrees to comply with the following terms and conditions:

1. **Equal Opportunity and Affirmative Action.** The State is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities.
2. **Preparation Expenses.** Neither the State nor the Department shall assume any liability for expenses incurred by a proposer in preparing, submitting, or clarifying any proposal submitted in response to this RFP.
3. **Exclusion of Taxes.** The Department is exempt from the payment of excise and sales taxes imposed by the federal government and the State. Proposers are liable for any other applicable taxes.
4. **Proposed Costs.** No cost submissions that are contingent upon a State action will be accepted. All proposed costs must be fixed through the entire term of the contract.
5. **Changes to Proposal.** No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, the Department may request and authorize proposers to submit written clarification of their proposals, in a manner or format prescribed by the Department, and at the proposer's expense.
6. **Supplemental Information.** Supplemental information will not be considered after the deadline submission of proposals, unless specifically requested by the Department. The Department may ask a proposer to give demonstrations, interviews, oral presentations or further explanations to clarify information contained in a proposal. Any such demonstration, interview, or oral presentation will be at a time selected and in a place provided by the Department. At its sole discretion, the Department may limit the number of proposers invited to make such a demonstration, interview, or oral presentation and may limit the number of attendees per proposer.
7. **Presentation of Supporting Evidence.** If requested by the Department, a proposer must be prepared to present evidence of experience, ability, data reporting capabilities, financial standing, or other information necessary to satisfactorily meet the requirements set forth or implied in this RFP. The Department may make onsite visits to an operational facility or facilities of a proposer to evaluate further the proposer's capability to perform the duties required by this RFP. At its discretion, the Department may also check or contact any reference provided by the proposer.

- 8. RFP Is Not An Offer.** Neither this RFP nor any subsequent discussions shall give rise to any commitment on the part of the State or the Department or confer any rights on any proposer unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the proposer and the Department and will supersede all prior negotiations, representations or agreements, alleged or made, between the parties. The State shall assume no liability for costs incurred by the proposer or for payment of services under the terms of the contract until the successful proposer is notified that the contract has been accepted and approved by the Department and, if required, by the Attorney General's Office.

■ **D. RIGHTS RESERVED TO THE STATE**

By submitting a proposal in response to this RFP, a proposer implicitly accepts that the following rights are reserved to the State:

- 1. Timing Sequence.** The timing and sequence of events associated with this RFP shall ultimately be determined by the Department.
- 2. Amending or Canceling RFP.** The Department reserves the right to amend or cancel this RFP on any date and at any time, if the Department deems it to be necessary, appropriate, or otherwise in the best interests of the State.
- 3. No Acceptable Proposals.** In the event that no acceptable proposals are submitted in response to this RFP, the Department may reopen the procurement process, if it is determined to be in the best interests of the State.
- 4. Award and Rejection of Proposals.** The Department reserves the right to award in part, to reject any and all proposals in whole or in part, for misrepresentation or if the proposal limits or modifies any of the terms, conditions, or specifications of this RFP. The Department may waive minor technical defects, irregularities, or omissions, if in its judgment the best interests of the State will be served. The Department reserves the right to reject the proposal of any proposer who submits a proposal after the submission date and time.
- 5. Sole Property of the State.** All proposals submitted in response to this RFP are to be the sole property of the State. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State, unless stated otherwise in this RFP or subsequent contract. The right to publish, distribute, or disseminate any and all information or reports, or part thereof, shall accrue to the State without recourse.
- 6. Contract Negotiation.** The Department reserves the right to negotiate or contract for all or any portion of the services contained in this RFP. The Department further reserves the right to contract with one or more proposer for such services. After reviewing the scored criteria, the Department may seek Best and Final Offers (BFO) on cost from proposers. The Department may set parameters on any BFOs received.
- 7. Clerical Errors in Award.** The Department reserves the right to correct inaccurate awards resulting from its clerical errors. This may include, in extreme circumstances, revoking the awarding of a contract already made to a proposer and subsequently awarding the contract to another proposer. Such action on the part of the State shall not constitute a breach of contract on the part of the State since the contract with the initial proposer is deemed to be void *ab initio* and of no effect as if no contract ever existed between the State and the proposer.
- 8. Key Personnel.** When the Department is the sole funder of a purchased service, the Department reserves the right to approve any additions, deletions, or changes in key personnel, with the exception of key personnel who have terminated employment. The Department also reserves the right to approve replacements for key personnel who have terminated employment. The Department

further reserves the right to require the removal and replacement of any of the proposer's key personnel who do not perform adequately, regardless of whether they were previously approved by the Department.

■ E. STATUTORY AND REGULATORY COMPLIANCE

By submitting a proposal in response to this RFP, the proposer implicitly agrees to comply with all applicable State and federal laws and regulations, including, but not limited to, the following:

1. **Freedom of Information, C.G.S. § 1-210(b).** The Freedom of Information Act (FOIA) generally requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content of the document falls within certain categories of exemption, as defined by C.G.S. § 1-210(b). Proposers are generally advised not to include in their proposals any confidential information. If the proposer indicates that certain documentation, as required by this RFP, is submitted in confidence, the State will endeavor to keep said information confidential to the extent permitted by law. The State has no obligation to initiate, prosecute, or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information pursuant to a FOIA request. The proposer has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. While a proposer may claim an exemption to the State's FOIA, the final administrative authority to release or exempt any or all material so identified rests with the State. In no event shall the State or any of its employees have any liability for disclosure of documents or information in the possession of the State and which the State or its employees believe(s) to be required pursuant to the FOIA or other requirements of law.
2. **Contract Compliance, C.G.S. § 4a-60 and Regulations of CT State Agencies § 46a-68j-21 thru 43, inclusive.** CT statute and regulations impose certain obligations on State agencies (as well as contractors and subcontractors doing business with the State) to insure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons.
3. **Consulting Agreements, C.G.S. § 4a-81.** Proposals for State contracts with a value of \$50,000 or more in a calendar or fiscal year, excluding leases and licensing agreements of any value, shall include a consulting agreement affidavit attesting to whether any consulting agreement has been entered into in connection with the proposal. As used herein "consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of C.G.S. Chapter 10 as of the date such affidavit is submitted in accordance with the provisions of C.G.S. § 4a-81. The Consulting Agreement Affidavit (OPM Ethics Form 5) is available on OPM's website at http://www.ct.gov/opm/fin/ethics_forms

IMPORTANT NOTE: A proposer must complete and submit OPM Ethics Form 5 to the Department with the proposal.

4. **Gift and Campaign Contributions, C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8 and No. 7C, Para. 10; C.G.S. § 9-612(g)(2).** If a proposer is awarded an opportunity to negotiate a contract with an anticipated value of \$50,000 or more in a calendar or fiscal year, the proposer must fully disclose any gifts or lawful contributions made to campaigns of candidates for statewide public office or the General Assembly. Municipalities and CT

State agencies are exempt from this requirement. The gift and campaign contributions certification (OPM Ethics Form 1) is available on OPM's website at http://www.ct.gov/opm/fin/ethics_forms

IMPORTANT NOTE: The successful proposer must complete and submit OPM Ethics Form 1 to the Department prior to contract execution.

- 5. Nondiscrimination Certification , C.G.S. §§ 4a-60(a)(1) and 4a-60a(a)(1).** If a proposer is awarded an opportunity to negotiate a contract, the proposer must provide the Department with *written representation or documentation* that certifies the proposer complies with the State's nondiscrimination agreements and warranties. A nondiscrimination certification is required for all State contracts – regardless of type, term, cost, or value. Municipalities and CT State agencies are exempt from this requirement. The nondiscrimination certification forms are available on OPM's website at http://www.ct.gov/opm/fin/nondiscrim_forms

IMPORTANT NOTE: The successful proposer must complete and submit the appropriate nondiscrimination certification form to the awarding Department prior to contract execution.

III. PROGRAM INFORMATION

■ A. DEPARTMENT OVERVIEW

The Department of Mental Health and Addiction Services (DMHAS) is the state healthcare service agency responsible for behavioral health promotion, including the prevention and treatment of mental illness and substance abuse in Connecticut. The single overarching goal of DMHAS is promoting and achieving a quality-focused, culturally responsive, and recovery-oriented system of care.

Department Mission: DMHAS' mission is: *"To promote the overall health and wellness of persons with behavioral health needs through an integrated network of holistic, comprehensive, effective, and efficient services and supports that foster dignity, respect, and self-sufficiency in those we serve."*

■ B. PROGRAM OVERVIEW

To receive homeless assistance funding through the U.S. Department of Housing and Urban Development (HUD) communities are required to establish and maintain a Continuum of Care (CoC). CoCs are responsible for coordinating funding, policies, strategies and activities designed to end homelessness in their region. There are two CoCs within the state of Connecticut: Connecticut Balance of State Continuum of Care (CTBOS) and Opening Doors Fairfield County.

CoCs are required by HUD to:

- conduct a point-in-time (PIT) count of sheltered and unsheltered homeless persons carried out on one night in the last 10 calendar days of January;
- compile an inventory of emergency shelter, transitional housing, safe havens, and permanent housing projects designated to serve homeless individuals and families (i.e., Housing Inventory Chart or HIC);
- maintain an information system known as the Homeless Management Information System (HMIS) and to use the HMIS to generate systems performance measures in compliance with standards determined by HUD.

On behalf of and in collaboration with both CoCs, DMHAS supports the annual statewide PIT count of homeless people, (referred to as CT Counts). In support of this initiative, DMHAS has been designated by the CTBOS as the collaborative applicant to apply for Continuum of Care planning funds. DMHAS is seeking the services of a single qualified contractor to lead each of the activities summarized below:

- lead Connecticut Count 2017, the statewide Point-in-Time Count of homeless people and compile the Housing Inventory Chart for both CoCs;
- lead the development of reporting tools to enable CoC funded and non-CoC funded projects operating within the CT BOS CoC to run project level performance reports on the applicable systems performance measures as defined by HUD;
- provide training for providers on how to run the performance reports described in this document, how to identify and correct data quality problems that may be impacting validity of the performance data, and how to use the reports to inform Continuous Quality Improvement efforts;
- provide written instructions for providers on how to run the reports and how to identify and correct data quality problems that may be impacting validity of the performance data.

■ C. MAIN PROPOSAL COMPONENTS

1. Organizational Requirements: Proposal must clearly describe the applicant's:

- (a) Experience in successfully designing and leading a collaborative data collection and reporting initiative of similar size and scope.
- (b) Experience managing similar projects and a proven track record of ensuring timely delivery of all products and coordinating closely with project partners to ensure that projects remain on schedule.

- (c) Knowledge of HUD HMIS requirements and data standards and experience working with HMIS systems.
- (d) Familiarity with HUD PIT Sheltered and Unsheltered Count and HIC guidelines and methodologies.
- (e) Familiarity with HUD Systems Performance Measures, including HMIS programming specifications.
- (f) Qualifications and experience in conducting surveys, especially with homeless populations, and in designing sampling strategies that result in reliable findings.
- (g) Qualifications and experience in design and implementation of data quality plans.
- (h) Qualifications and experience in using data to inform Continuous Quality Improvement strategies.
- (i) Experience in gaining buy-in and participation from community leaders, consumers, providers, and others for similar initiatives.
- (j) Demonstrated ability to communicate clearly, prevent and resolve issues, and organize complex projects.
- (k) Ability to write clear, concise, and compelling documents and to present data in a manner that that is easily understood by a range of stakeholders and useful for informing project and systems level decisions.
- (l) The ideal candidate will have a working knowledge of Connecticut's homeless population and homeless services delivery system and strong community outreach and community organizing capacity.
- (m) References: The proposal must include a minimum of 3 Letters of Reference. This is not a Letter of Support. Letters must include name, title, address, phone number, email address and a description of a project completed by the applicant agency for the referencing agency within the past 4 years. Letters of Reference should be included as part of Section IV.H.

2. Service Requirements:

- (a) POINT-IN-TIME COUNT & HOUSING INVENTORY CHART: The selected contractor will be responsible for the overall management of the project and timely delivery of all data and other information needed by CoCs to fulfill their 2017 Homeless Point-in-Time Count obligations in a manner that complies with current guidance as issued by HUD. This includes ensuring timely delivery of all products by subcontractors and coordinating closely with other project partners to ensure the project remains on schedule. Primary project deliverables are noted directly below. Other contract deliverables are detailed in the table below.

Proposals must address applicant's approach to:

1. Methodology: Narrative description that can be approved by CoCs in advance of the count, methodology information required in HDX, and methodology information required in the CoC application;
2. Housing Inventory Chart in a format required by HUD. Current guidance is available at:
<https://www.hudexchange.info/resource/5110/notice-cpd-16-060-2017-hic-and-pit-data-collection-for-coc-and-esg-programs/>
3. Sheltered Point-in-Time Count, including population, subpopulation, and demographic data;
4. Unsheltered Point-in-Time Count, including population, subpopulation, and demographic data;
5. Contractor is also responsible for delivering a Statewide Count report that includes at a minimum:
 - Executive Summary highlighting key findings;
 - Narrative description of sheltered and unsheltered count methodologies;
 - Graphic and narrative descriptions of sheltered and unsheltered total population, subpopulation and demographic data and other information as required by HUD;
 - Survey instruments used;

- Data tables showing sheltered and unsheltered population and subpopulation data at the state, CoC and sub-CoC levels and other information as required by HUD.
6. Contractor is responsible for ensuring the timely announcement of all count related trainings and meetings. Announcements must occur at least 3 weeks in advance of each training and/or meeting date scheduled.
- (b) HMIS PERFORMANCE REPORTS: The selected contractor will be responsible for the overall management of the project and timely completion of all deliverables as indicated in this document and in a manner that complies with HUD guidance. This includes ensuring timely delivery of all products by subcontractors and coordinating closely with other project partners to ensure the project remains on schedule according to the contract developed as a result of this RFP. Primary project deliverables are noted directly below. Other contract deliverables and additional details are described in the table below.

Proposals must address applicant's approach to and use of:

1. Reporting tools to enable CoC funded and non-CoC funded projects operating within the CT BOS CoC to run project level performance reports on the applicable systems performance measures as defined by HUD. Current guidance is available at: <https://www.hudexchange.info/programs/coc/system-performance-measures/>
 2. Reporting tools to enable DMHAS Office of the Commissioner staff to run project level performance reports on the applicable systems performance measures and HUD APR Data for projects where DMHAS is the grantee.
 3. Contractor is responsible for monitoring and integrating new guidance issued by HUD.
 4. Training for providers on how to run the reports described in this document, how to identify and correct data quality problems that may be impacting validity of the performance data, and providing examples of how a project might use the reports to inform Continuous Quality Improvement efforts.
 5. Written instructions for providers on how to run the reports and how to identify and correct data quality problems that may be impacting validity of the performance data.
- (c) POINT IN TIME COUNT & HOUSING INVENTORY COUNT PROJECT MANAGEMENT DELIVERABLES:

Proposals must address:

1. Project Plan: The plan must at a minimum include the following elements:
 - Clearly outline roles and responsibilities of all project partners (e.g., contractor, subcontractor(s), CoC liaisons, SubCoC liaisons, Regional Coordinators).
 - A detailed timeline for all required tasks including, the responsible partner and a clear description of and target date for each task.
 - An establish plan for ensuring that HIC data is updated and current by no later than January 6, 2017.
 - An established plan for ensuring that HIC, Sheltered and Unsheltered PIT data, including demographic data, is submitted by providers and regional coordinators and complete by no later than 3 weeks after the date of the count.
 - An established data quality assurance plan that ensures all data required in HDX is available and meets HUD standards. This plan must at a minimum include:
 - HIC/PIT data comparisons to 2015 to identify possible quality issues.
 - data validation strategies to prevent users from entering inaccurate data and omitting required data.

- data validation strategies to ensure that data provided will not trigger errors in HDX and that data matches across data sets.
 - steps to ensure that program changes that occur after the count date do not impact count data. The plan must also assign responsibility and a target date for each data quality assurance task.
- Steps necessary to ensure all other deadlines outlined in this document are met.
2. Methodology: A comprehensive narrative description of the methodology for both the sheltered and unsheltered point in time counts. This includes a description of the methodology for producing all HUD required population and subpopulation counts, the methodology for extrapolation as necessary to accommodate missing data, and the methodology for unsheltered count block group sampling.
 3. Bi-Weekly Project Status Updates: Prepare and share with DMHAS and CoCs bi-weekly project status updates beginning on December 1, 2016, and until all data is final and submitted in HDX and the Statewide Count report is released. These updates must, at a minimum, report:
 - whether tasks are completed on time or are delayed;
 - reasons for delays and corrective actions that will be taken by the contractor and/or actions requested by DMHAS and/or CoCs to ensure timeliness of all deliverables; and
 - data quality concerns; and
 - as necessary, the status updates should include revisions to the project timeline to ensure ongoing clarity among all partners regarding who is responsible for doing what by when.
- (d) HOUSING INVENTORY CHART DELIVERABLES: Specific deliverables related to the HIC are outlined below, and proposals must address how such will be achieved:
1. Preliminary HIC Updates: No later than January 6, 2017, Work with providers and CoCs to update and deliver to CoCs accurate HIC data that reflects current program information as anticipated on the night of the count, including all fields required by HUD. Ensure that the data system used for the 2017 PIT Count is based on current HUD guidelines and a current and accurate inventory of programs.
 2. Final HIC DATA: Work with providers and CoCs to update post count, as necessary, and deliver to CoCs current and accurate final HIC data no later than 4 weeks after the 2017 count date.
- (e) SHELTERED & UNSHELTERED PIT COUNT DELIVERABLES: Specific deliverables related to the PIT Count are outlined below, and proposals must address how such will be achieved:
1. Count Regions: Within 60 days of award or no later than December 15, 2016, update count regions to reflect current local organizational structures as determined in consultation with DMHAS and CoCs and recruit regional coordinators for all regions.
 2. Sampling Strategy: No later than December 15, 2016, update unsheltered count sampling strategy to ensure sampling reflects current regional structures and results in valid estimates of unsheltered homelessness.
 3. Kick-Off: No later than December 15, 2016, and minimum 3 weeks prior to deadline for submitting block group designations, convene a kick-off meeting for all regional coordinators and interested CoC and SubCoC parties. Kick-Off meeting must at a minimum provide sufficient orientation for new coordinators, a detailed description of partner roles and responsibilities, a detailed project timeline, and instructions and all materials and strategic guidance necessary for block group designations.

4. Volunteer Recruitment, Coordination and Training: No later than 2 weeks prior to the count date lead statewide efforts to recruit sufficient volunteers to conduct the count. Connect volunteers with the appropriate regional coordinator. Provide regional coordinators with all guidance and materials they need to ensure each volunteer team includes an experienced/knowledgeable leader and all volunteers receive appropriate training. Coordinate with CoCs to ensure that training includes specific guidance related to CoC policies.
5. Count Materials: No later than 2 weeks prior to the count date, finalize and make available on-line all final materials and guidance necessary to conduct the count in accordance with current HUD guidelines including survey instruments.
6. Training: No later than 2 weeks prior to the count date, convene training(s) for all regional coordinators, participating providers and interested CoC and Sub-CoC parties.
7. Conduct Count: Provide real-time guidance and technical assistance to regional coordinators, participating providers and count volunteers on the night of the count. Ensure all data systems needed to conduct the count are fully operational. Count date will be determined in consultation with DMHAS and CoCs and in accordance with HUD requirements.
8. Preliminary Debrief: No later than 1 week after the date of the count, convene a debriefing meeting with Regional Coordinators and interested CoC and subCoC representatives. Document findings and make recommendations for the 2018 count.
9. Data Management: Collect, manage and enter all PIT count data, including all HMIS and survey data necessary to generate population, subpopulation and demographic counts. Alert CoCs to missing data within 10 days of the count date. All data must be collected and entered no later than 3 weeks after the date of the count.
10. Data Quality Assurance: Lead data quality assurance strategies in accordance with the data quality assurance plan and plan date parameters.
11. Initial Pit Count Data Reports: Produce and share with CoCs preliminary sheltered and unsheltered data reports. Reports must include complete population, subpopulation and demographic data and must have been reviewed and corrected in accordance with the data quality assurance plan prior to delivery to CoCs. Sheltered data reports must be produced and shared no later than 4 weeks and unsheltered data reports must be produced and shared no later than 6 weeks after the date of the count.
12. Second Run Pit Count Data Reports: Produce and share with CoCs updated sheltered and unsheltered data reports resolving any issues noted by CoCs. Reports must include complete population, subpopulation and demographic data and must have been reviewed and corrected in accordance with the data quality assurance plan prior to delivery to CoCs. Sheltered data reports must be produced and shared no later than 6 weeks and unsheltered data reports must be produced and shared no later than 8 weeks after the date of the count.
13. Sub-CoC Pit Data Reports: Produce and share with CoCs and SubCoCs updated sheltered and unsheltered data reports resolving any issues noted by CoCs. Reports must include complete population, subpopulation and demographic data and must have been reviewed and corrected in accordance with the data quality assurance plan prior to delivery to CoCs and must show all data at the SubCoC level. Sheltered data reports must be produced and shared no later than 7 weeks and unsheltered data reports must be produced and shared no later than 9 weeks after the date of the count.
14. Final Pit Count Data Reports: Produce and share with CoCs final sheltered and unsheltered data reports resolving all issues noted by CoCs. Reports must include complete population, subpopulation and demographic data and must have been reviewed and corrected in accordance with the data quality assurance plan prior to delivery to CoCs. Sheltered data reports must be produced and shared no later than 8 weeks and unsheltered data reports no later than 10 weeks after the date of the count.

15. Hdx Methodology: No later than 3 weeks prior to HDX deadline, produce and share with CoCs responses to all questions related to PIT/HIC methodology as required in HDX.
 16. Draft Statewide Pit Count Report: No later than 2 weeks after the HDX submission deadline, compile and share with DMHAS, CoCs and SubCoCs the draft Statewide PIT Count Report.
 17. Final Statewide Pit Count Report: Finalize and Make public the Statewide PIT Count Report No later than 3 weeks after the HDX submission deadline.
 18. Final Pit Count Debrief: Convene a final debriefing meeting with Regional Coordinators and interested CoC and subCoC representatives. Document findings and make recommendations for the 2018 count no later than 4 weeks after the HDX submission deadline.
 19. COC Application Methodology: Produce and share with DMHAS and CoCs all responses to all questions related to PIT and HIC methodology as required in the CoC Application no later than 3 weeks after the release of the CoC Application by HUD.
- (f) HMIS PERFORMANCE REPORTS DELIVERABLES: Specific deliverables related to the HMIS Reports are outlined below, and proposals must address how such will be achieved:
1. Project Plan: The plan must at a minimum include the following elements:
 - Clearly outline roles and responsibilities of all project partners (e.g., contractor, subcontractor(s), CoC representatives).
 - Establish a detailed timeline for all required tasks including the responsible partner and a clear description of and target date for each task.
 - Establish a quality assurance plan that ensures performance reports are consistent with HUD standards and generate accurate results based on available data.
 - Steps necessary to ensure all other deadlines outlined in this document are met.
 2. Project Status Updates: Prepare and share with DMHAS and the CoC Steering Committee monthly written project status updates beginning with contract execution and until all deliverables are finalized. These updates must, at a minimum, report:
 - Whether tasks are completed on time or are delayed.
 - Reasons for delays and corrective actions that will be taken by the contractor and/or actions requested by DMHAS and/or the CoC to ensure timeliness of all deliverables.
 - As necessary, the status updates should include revisions to the project timeline.
 3. Project Level Reporting Tools: No later than 120 days post award, propose to the CoC Steering Committee draft templates for all reporting tools as described below, incorporate feedback from the Steering Committee, finalize and release the reporting tools. Reporting tools must:
 - Enable all CoC funded and non CoC funded projects operating within the CT BOS CoC whose data contributes to CoC system performance outcomes as defined by HUD to run project-level performance reports on all HUD systems performance measures that are applicable at the project level.
 - Enable provider staff without technical expertise to generate reports.
 - Produce data reports that are easily understood by provider staff at all levels.
 - Enable providers to select the data range for which they would like to analyze performance.
 - Enable providers to select date ranges for which they would like to analyze comparative performance over time for their project and show performance comparisons across multiple date ranges (e.g. comparing performance for 2014, 2015 and 2016).
 - Enable providers to compare their project's performance to the performance of other projects of the same type within the CoC .
 - Enable DMHAS OOC Project Manager to access and run HMIS HUD performance reports and HUD APR reports for all projects where DMHAS is the grantee
 4. Provider Training and Resources: No later than 210 days post award:

- Provide written instructions for providers on how to run the reports for themselves and how to identify and correct data quality problems that may be impacting validity of the performance data.
 - Develop and record web-based training session(s) on how to run the reports described above and how to identify and correct data quality problems that may be impacting validity of the performance data.
 - Conduct monthly one-hour long Q&A sessions via webinar for providers to ask questions in real time.
 - Provide and disseminate an initial set of performance reports showing actual project level performance data for all CoC funded and non CoC funded projects operating within the CT BOS CoC whose data contributes to CoC system performance outcomes.
 - Make all training resources, including slides, webcast and written instructions available on-line.
5. COC Reports: No later than 240 days post award, propose to the CoC Steering Committee draft templates for all reporting tools as described below. Incorporate feedback from the Steering Committee, finalize and release the reporting tools. Reporting tools must:
- Enable the CoC to generate reports showing project level performance on all HUD systems performance measures that are applicable at the project level for all CoC funded and non CoC funded projects operating within the CT BOS CoC whose data contributes to CoC system performance outcomes as defined by HUD.
 - Enable authorized CoC stakeholders without technical expertise to generate reports.
 - Produce data reports that are easily understood by the CoC Steering Committee and help the Steering Committee to understand which projects demonstrate strong, average, and below average performance and which projects have the biggest impact on overall CoC system performance.
 - Produce data reports that are easily understood by the CoC Steering Committee and help the Steering Committee to understand which projects demonstrate strong, average, and below average performance and which projects have the biggest impact on overall CoC system performance.
 - Enable the CoC to select the data range for which they would like to analyze performance.
 - Enable the CoC to select the project types for which they would like to analyze performance.

3. Staffing Plan: Proposals must include the names of all personnel, including all subcontractors, and associated personnel, who will be assigned to work on the project. Provide each person's education and previous professional experience on projects of a similar size and scope and identify each person's role and responsibilities on the project. Resumes for each known staff member must be included as part of Part IV.H.

4. Data and Technology: Proposal must provide a minimum of two detailed examples of the applicant's recent experience designing and leading initiatives of similar size and scope, including dates and names of partners on the initiative and the technology used to communicate, train and manage data.

■ D. COST PROPOSAL COMPONENT

1. Financial Requirements

If the applicant is not a current DMHAS contractor, a copy of the applicant's most recent financial audit must be included in the proposal, through Section H. This is required to prove the financial stability and viability of the applicant agency.

2. Budget Requirements

Applicants must provide a line item budget delineating all costs associated with the proposed services, to include any subcontractor costs. Budgets must also include a budget narrative to correlate to all identified line item costs.

■ E. APPENDICES AND FORMS

The following appendices must be included in the application, as Section H. These appendices must not be used to extend or replace sections of the Program Narrative, and no other appendices are permitted for inclusion in the application.

1. Appendix 1: If the applicant agency is not a municipality, proof of non-profit status must be provided as Appendix 1.
2. Appendix 2: Proof of the applicant agency's Connecticut Business License (issued through the Office of the Secretary of the State) must be provided as Appendix 2.
3. Appendix 3: Resumes for Existing Staff and/or Job Descriptions for New Positions
4. Appendix 4: Letters of Reference. A minimum of 3 must be provided.
5. Appendix 5: At least one work product that illustrates the applicant's ability to meet the qualifications for this project.
6. Appendix 6: Copy of Most Recent Financial Audit (If not a current DMHAS-funded agency)

In addition to the required appendices, the forms included in this RFA and delineated in Section IV must be completed in their entirety and returned with all applications. Completion and inclusion of such forms will constitute partial scoring in this category.

IV. PROPOSAL OUTLINE

This section presents the **required** outline that must be followed when submitting a proposal in response to this RFP. Proposals must include a Table of Contents that exactly conforms with the required proposal outline (below). Proposals must include all the components listed below, in the order specified, using the prescribed lettering and numbering scheme. Incomplete proposals will not be evaluated. While the proposal outline is standard, the information requested from proposers will vary by RFP, depending of the Department's procurement requirements.

	Page
A. Cover Sheet	1
B. Table of Contents	2
C. Declaration of Confidential Information	Etc.
D. Conflict of Interest - Disclosure Statement	
E. Executive Summary.	
F. Main Proposal	
1. Organizational Profile	
2. Scope of Services	
3. Staffing Plan	
4. Data and Technology	
5. Subcontractors	
<i>If the proposal includes the use of subcontractors, please detail the following. If this proposal is being submitted as a stand-alone program, this section of the proposal may be omitted:</i>	
a. Legal Name of Agency, Address, FEIN	
b. Contact Person, Title, Phone, Fax, E-mail	
c. Services Currently Provided	
d. Services To Be Provided Under Subcontract	
e. Subcontractor Oversight	
f. Subcontract Cost and Term	
6. Work Plan	
Identify the project's milestones and timeline for completion of each. Provide a detailed schedule for the completion of all project activities.	
G. Cost Proposal	
a. Line Item Budget	
b. Budget Narrative	

H. Appendices

- a. Proof of Non-Profit Status (if required)
- b. Connecticut Business License
- c. Resumes
- d. Letters of Reference
- e. Copy of Work Product
- f. Financial Audit

I. Forms

- a. **Form #1:** Gift and Campaign Contribution Certification
This form must be completed and included in Section I of the proposal.
- b. **Form #2:** Consulting Agreement Affidavit
This form must be completed and included in Section I of the proposal .
- c. **Form #3:** Acknowledgment of Contract Compliance
This form must be completed and included in Section I of the proposal.
- d. **Form #4:** Notification To Bidders
This form must be completed and included in Section I of the proposal. For more information on completion of this report, go to www.ct.gov/chro
- e. **Form #5:** Employer Information Report
This form must be completed and included in Section I of the proposal. For more information on completion of this report, go to www.eeoc.gov
- f. **Form #6:** Cover Sheet
This form must be completed if the proposal is being submitted for a program NOT currently under contract with the Department.

FORM #1

STATE OF CONNECTICUT GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

Written or electronic certification to accompany a State contract with a value of \$50,000 or more in a calendar or fiscal year, pursuant to C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8, and No. 7C, Para. 10; and C.G.S. §9-612(g)(2)

INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution and if there is a change in the information contained in the most recently filed certification, such person shall submit an updated certification either (i) not later than thirty (30) days after the effective date of such change or (ii) upon the submittal of any new bid or proposal for a contract, whichever is earlier. Such person shall also submit an accurate, updated certification not later than fourteen days after the twelve-month anniversary of the most recently filed certification or updated certification.

CHECK ONE: ☐ Initial Certification ☐ 12 Month Anniversary Update (Multi-year contracts only.)
 ☐ Updated Certification because of change of information contained in the most recently filed certification or twelve-month anniversary update.

GIFT CERTIFICATION:

As used in this certification, the following terms have the meaning set forth below:

- 1) "Contract" means that contract between the State of Connecticut (and/or one or more of its agencies or instrumentalities) and the Contractor, attached hereto, or as otherwise described by the awarding State agency below;
- 2) If this is an Initial Certification, "Execution Date" means the date the Contract is fully executed by, and becomes effective between, the parties; if this is a twelve-month anniversary update, "Execution Date" means the date this certification is signed by the Contractor;
- 3) "Contractor" means the person, firm or corporation named as the contractor below;
- 4) "Applicable Public Official or State Employee" means any public official or state employee described in C.G.S. §4-252(c)(1)(i) or (ii);
- 5) "Gift" has the same meaning given that term in C.G.S. § 4-250(1);
- 6) "Principals or Key Personnel" means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in C.G.S. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

I, the undersigned, am a Principal or Key Personnel of the person, firm or corporation authorized to execute this certification on behalf of the Contractor. I hereby certify that, no gifts were made by (A) such person, firm, corporation, (B) any principals and key personnel of the person firm or corporation who participate substantially in preparing bids, proposals or negotiating state contracts or (C) any agent of such, firm, corporation, or principals or key personnel who participates substantially in preparing bids, proposals or negotiating state contracts, to (i) any public official or state employee of the state agency or quasi-public agency soliciting bids or proposals for state contracts who participates substantially in the preparation of bid solicitations or request for proposals for state contracts or the negotiation or award of state contracts or (ii) any public official or state employee of any other state agency, who has supervisory or appointing authority over such state agency or quasi-public agency.

I further certify that no Principals or Key Personnel know of any action by the Contractor to circumvent (or which would result in the circumvention of) the above certification regarding **Gifts** by providing for any other Principals, Key Personnel, officials, or employees of the Contractor, or its or their agents, to make a **Gift** to

any Applicable Public Official or State Employee. I further certify that the Contractor made the bid or proposal for the Contract without fraud or collusion with any person.

CAMPAIGN CONTRIBUTION CERTIFICATION:

I further certify that, on or after December 31, 2006, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(g)(1), has made any **campaign contributions** to, or solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of C.G.S. § 9-612(g)(2)(A). I further certify that **all lawful campaign contributions** that have been made on or after December 31, 2006 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(g)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:

Lawful Campaign Contributions to Candidates for Statewide Public Office:

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>

Lawful Campaign Contributions to Candidates for the General Assembly:

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Printed Contractor Name

Printed Name of Authorized Official

Signature of Authorized Official

Subscribed and acknowledged before me this _____ day of _____, 20____.

Commissioner of the Superior Court (or Notary Public)



Affidavit to accompany a bid or proposal for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b). For sole source or no bid contracts the form is submitted at time of contract execution.

If the bidder or vendor has entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete all sections of the form. If the bidder or contractor has entered into more than one such consulting agreement, use a separate form for each agreement. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public. **If the bidder or contractor has not entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1):** Complete only the shaded section of the form. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public.

This affidavit must be amended if there is any change in the information contained in the most recently filed affidavit not later than (i) thirty days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

I, the undersigned, hereby swear that I am a principal or key personnel of the bidder or contractor awarded a contract, as described in Connecticut General Statutes § 4a-81(b), or that I am the individual awarded such a contract who is authorized to execute such contract. I further swear that I have not entered into any consulting agreement in connection with such contract, **except for the agreement listed below:**

If YES: _____
 Name of Former State Agency Termination Date of Employment

Printed Name (of above) _____ Awarding State Agency _____

**Commissioner of the Superior Court
or Notary Public**

Acknowledgement of Contract Compliance
Notification to Bidders

The contract to be awarded is subject to contract compliance requirements mandated by Section 4-114a of the Connecticut General Statutes: and when the guarding agency is the state, Section 46a-71(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 4-11a-1 et seq. of the regulations of Connecticut State Agencies which establish a procedure for the awarding of all contracts covered by Sections 4-114a and 46a-71(d) of the Connecticut General Statutes.

According to Section 4-114a-3(9) of the Contract Compliance regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials.” “Minority business enterprise” is defined in Section 4-114a of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets, belong to a person or persons: “(1) Who are active in the daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprises; and (3) who are members of a minority, as such term is defined in sub-section (a) of Section 32-9n.” “Minority” groups are defined in Section 32-9n of the Connecticut General Statutes as “ (1) Black Americans...(2) Hispanic American...(3) Women...(4) Asian Pacific Americans and Pacific Islanders; or (5) American Indians...” The above definitions apply to the contract compliance requirement virtue of Section 4-114a-1 (10) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the Applicant’s qualifications under the contract compliance requirements:

- (a) the applicant’s success in implementing an affirmative action plan;
- (b) the applicant’s success in developing an apprenticeship program complying with Sections 46a-68-17 of the Connecticut General Statutes, inclusive;
- (c) the applicant’s promise to develop and implement a successful affirmative action plan;
- (d) the applicant’s submission of EEO-1 data indicating that the composition of its work force is at or near parity when compared to the racial and sexual composition of the work force in the relevant labor market area; and
- (e) the applicant’s promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 4-11a-3(10) of the Contract Compliance Regulations.

* INSTRUCTIONS Applicant must sign acknowledgment below, and return acknowledgment to awarding agency along with signed proposal.

The undersigned acknowledges receiving and reading a copy of the “Notification to Bidders” form.

Signature

Date

FORM #4**BIDDER CONTRACT COMPLIANCE MONITORING REPORT****PART I - Bidder Information**

(Page 1)

Company Name Street Address City & State Chief Executive	Bidder Federal Employer Identification Number _____ Or Social Security Number _____
Major Business Activity (brief description)	Bidder Identification (response optional/definitions on page 1) -Bidder is a small contractor. Yes ___ No ___ -Bidder is a minority business enterprise Yes ___ No ___ (If yes, check ownership category) Black ___ Hispanic ___ Asian American ___ American Indian/Alaskan Native ___ Iberian Peninsula ___ Individual(s) with a Physical Disability Female ___ _____ - Bidder is certified as above by State of CT Yes ___ No ___ _____ - DAS Certification Number _____ _____
Bidder Parent Company (If any)	
Other Locations in Ct. (If any)	

PART II - Bidder Nondiscrimination Policies and Procedures

1. Does your company have a written Affirmative Action/Equal Employment Opportunity statement posted on company bulletin boards? Yes ___ No ___	7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 & 4a-60a Conn. Gen. Stat.? Yes ___ No ___
2. Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards? Yes ___ No ___	8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have physical or mental disability? Yes ___ No ___
3. Do you notify all recruitment sources in writing of your company's Affirmative Action/Equal Employment Opportunity employment policy? Yes ___ No ___	9. Does your company have a mandatory retirement age for all employees? Yes ___ No ___
4. Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer? Yes ___ No ___	10. If your company has 50 or more employees, have you provided at least two (2) hours of sexual harassment training to all of your supervisors? Yes ___ No ___ NA
5. Do you notify the Ct. State Employment Service of all employment openings with your company? Yes ___ No ___	11. If your company has apprenticeship programs, do they meet the Affirmative Action/Equal Employment Opportunity requirements of the apprenticeship standards of the Ct. Dept. of Labor? Yes ___ No ___ NA
6. Does your company have a collective bargaining agreement with workers? Yes ___ No ___ 6a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers? Yes ___ No ___ 6b. Have you notified each union in writing of your commitments under the nondiscrimination requirements of contracts with the state of Ct? Yes ___ No ___	12. Does your company have a written affirmative action Plan? Yes ___ No ___ If no, please explain. 13. Is there a person in your company who is responsible for equal employment opportunity? Yes ___ No ___ If yes, give name and phone number.

Part III - Bidder Subcontracting Practices

1. Will the work of this contract include subcontractors or suppliers? Yes__ No__

1a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise. (defined on page 1 / use additional sheet if necessary)

1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? Yes__ No__

PART IV - Bidder Employment Information Date:

JOB CATEGORY	OVERALL TOTALS	WHITE (not of Hispanic origin)		BLACK (not of Hispanic origin)		HISPANIC		ASIAN or PACIFIC ISLANDER		AMERICAN INDIAN or ALASKAN NATIVE	
		Male	Female	Male	Female	Male	Female	Male	Female	male	female
Management											
Business & Financial Ops											
Computer Specialists											
Architecture/Engineering											
Office & Admin Support											
Bldg/ Grounds Cleaning/Maintenance											
Construction & Extraction											
Installation , Maintenance & Repair											
Material Moving Workers											
TOTALS ABOVE											
Total One Year Ago											
FORMAL ON THE JOB TRAINEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE)											
Apprentices											
Trainees											

PART V - Bidder Hiring and Recruitment Practices

1. Which of the following recruitment sources are used by you? (Check yes or no, and report percent used)				2. Check (X) any of the below listed requirements that you use as a hiring qualification (X)		3. Describe below any other practices or actions that you take which show that you hire, train, and promote employees without discrimination	
SOURCE	YES	NO	% of applicants provided by source				
State Employment Service							Work Experience
Private Employment Agencies							Ability to Speak or Write English
Schools and Colleges							Written Tests
Newspaper Advertisement					High School Diploma		

Walk Ins					College Degree	
Present Employees					Union Membership	
Labor Organizations					Personal Recommendation	
Minority/Community Organizations					Height or Weight	
Others (please identify)					Car Ownership	
					Arrest Record	
					Wage Garnishments	

Certification (Read this form and check your statements on it CAREFULLY before signing). I certify that the statements made by me on this BIDDER CONTRACT COMPLIANCE MONITORING REPORT are complete and true to the best of my knowledge and belief, and are made in good faith. I understand that if I knowingly make any misstatements of facts, I am subject to be declared in non-compliance with Section 4a-60, 4a-60a, and related sections of the CONN. GEN. STAT.

(Signature)	(Title)	(Date Signed)	(Telephone)
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- Joint Reporting Committee
- Equal Employment Opportunity Commission
 - Office of Federal Contract Compliance Programs (Labor)

EQUAL EMPLOYMENT OPPORTUNITY

EMPLOYER INFORMATION REPORT EEO-1

Standard Form 100
REV. 01/2006

O.M.B. No. 3048-9007
EXPIRES 01/2009
100-214

Section A—TYPE OF REPORT

Refer to instructions for number and types of reports to be filed.

1. Indicate by marking in the appropriate box the type of reporting unit for which this copy of the form is submitted (MARK ONLY ONE BOX).

(1) ☐ Single-establishment Employer Report

Multi-establishment Employer:

(2) ☐ Consolidated Report (Required)

(3) ☐ Headquarters Unit Report (Required)

(4) ☐ Individual Establishment Report (submit one for each establishment with 50 or more employees)

(5) ☐ Special Report

2. Total number of reports being filed by this Company (Answer on Consolidated Report only) _____

Section B—COMPANY IDENTIFICATION (To be answered by all employers)

1. Parent Company

a. Name of parent company (owns or controls establishment in item 2) omit if same as label

Address (Number and street)

City or town

State

ZIP code

2. Establishment for which this report is filed. (Omit if same as label)

a. Name of establishment

Address (Number and street)

City or Town

County

State

ZIP code

b. Employer identification No. (IRS 9-DIGIT TAX NUMBER)

c. Was an EEO-1 report filed for this establishment last year? ☐ Yes ☐ No

Section C—EMPLOYERS WHO ARE REQUIRED TO FILE (To be answered by all employers)

- ☐ Yes ☐ No 1. Does the entire company have at least 100 employees in the payroll period for which you are reporting?
- ☐ Yes ☐ No 2. Is your company affiliated through common ownership and/or centralized management with other entities in an enterprise with a total employment of 100 or more?
- ☐ Yes ☐ No 3. Does the company or any of its establishments (a) have 50 or more employees AND (b) is not exempt as provided by 41 CFR 60-1.5, AND either (1) is a prime government contractor or first-tier subcontractor, and has a contract, subcontract, or purchase order amounting to \$50,000 or more, or (2) serves as a depository of Government funds in any amount or is a financial institution which is an issuing and paying agent for U.S. Savings Bonds and Savings Notes?

If the response to question C-3 is yes, please enter your Dun and Bradstreet identification number (if you have one):

NOTE: If the answer is yes to questions 1, 2, or 3, complete the entire form, otherwise skip to Section G.

Section D - EMPLOYMENT DATA
Employment at this establishment - Report all permanent full- and part-time employees including apprentices and on-the-job trainees unless specifically excluded as set forth in the instructions. Enter the appropriate figures on all lines and in all columns. Blank spaces will be considered as zeros.

Job Categories	Number of Employees (Report employees in only one category)															Total Col A + N
	Race/Ethnicity															
	Hispanic or Latino		Not-Hispanic or Latino								Female					
	Male	Female	White	Black or African American	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or more races	White	Black or African American	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or more races		
	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	
Executive/Senior Level Officials and Managers	11															
First/Mid Level Officials and Managers	12															
Professionals	2															
Technicians	3															
Sales Workers	4															
Administrative Support Workers	5															
Craft Workers	6															
Operatives	7															
Laborers and Helpers	8															
Service Workers	9															
TOTAL	10															
PREVIOUS YEAR TOTAL	11															

1. Date(s) of payroll period used: _____ (Omit on the Consolidated Report.)

Section E - ESTABLISHMENT INFORMATION (Omit on the Consolidated Report.)

1. What is the major activity of this establishment? (Be specific, i.e., manufacturing steel castings, retail grocer, wholesale plumbing supplies, title insurance, etc. Include the specific type of product or type of service provided, as well as the principal business or industrial activity.)

Section F - REMARKS
Use this item to give any identification data appearing on the last EEO-1 report which differs from that given above, explain major changes in composition of reporting units and other pertinent information.

Section G - CERTIFICATION
Check 1 ☐ All reports are accurate and were prepared in accordance with the instructions. (Check on Consolidated Report only.)
2 ☐ This report is accurate and was prepared in accordance with the instructions.

Name of Certifying Official	Title	Signature	Date
Name of person to contact regarding this report	Title	Address (Number and Street)	
City and State	Zip Code	Telephone No. (including Area Code and Extension)	Email Address

All reports and information obtained from individual reports will be kept confidential as required by Section 709(c) of Title VII. WILLFULLY FALSE STATEMENTS ON THIS REPORT ARE PUNISHABLE BY LAW, U.S. CODE, TITLE 18, SECTION 1001



REQUEST FOR APPLICATIONS
RFP # DMHAS-HOU-PIT-17
Department of Mental Health and Addiction Services
August 2016

FORM #6: Proposal Cover Sheet

Applicant Agency

FEIN

Address

City/Town

State

Zip Code

Agency Contact:

Title:

Telephone Number

Fax Number

E-Mail Address

Total Annual Program Cost

Total Annual Cost to DMHAS

Applicant Agency Fiscal Year: _____ to _____
(month) (month)

Proposed Program Address:

Is your agency a non-profit? Yes ☐ No ☐

Is your agency incorporated? Yes ☐ No ☐

Is your agency registered as a:

Minority Business Enterprise? Yes ☐ No ☐

Women Business Enterprise? Yes ☐ No ☐

Small Business Enterprise? Yes ☐ No ☐

I certify that to the best of my knowledge and belief, the information contained in this application is true and correct. The application has been duly authorized by the governing body of the applicant, the applicant has the legal authority to apply for this funding, the applicant will comply with applicable state and federal laws and regulations, and that I am a duly authorized signatory for the applicant.

Signature of Authorizing Official

Date

Typed Name and Title